

5/8/02  
5/8/02

DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
P00632-US1

In Re Application Of: CHARNLEY, James A. Jr.

MAY 17 2002



Serial No.  
10/079,022

Filing Date  
02/20/2002

Examiner

Group Art Unit  
2161

Title:

METHOD FOR SELECTING INVESTMENTS IN BOOK-VALUED COLLECTIVE INVESTMENT FUNDS

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Assistant Commissioner for Patents  
Washington, D.C. 20231

MAY 21 2002

37 CFR 1.97(b)

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- The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

- The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

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GROUP 3600

a certification as specified in 37 CFR 1.97(e);

OR

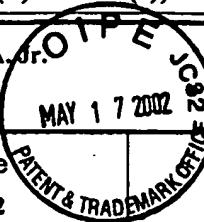
the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

JR

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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David R. Josephs, Esquire, #34,632  
BARLOW, JOSEPHS & HOLMES, LTD.  
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## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

P00632

Application Number

10/079,022

Applicant(s)

CHARNLEY, James A. Jr.

Filing Date

02/20/2002

Group Art Unit

2161

MAY 1 / 2002

PATENT &amp; TRADEMARK OFFICE

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JR		5,109,475	04/28/1992	Kosaka et al.	395	22	
		5,761,442	06/02/1998	Barr et al.	395	236	
		5,774,881	06/30/1998	Friend et al.	705	36	
		5,884,287	03/16/1999	Edesess	705	36	
		5,978,778	11/02/1999	O'Shaughnessy	705	36	
		5,987,433	11/16/1999	Crapo	705	36	
		6,018,722	01/25/2000	Ray et al.	705	36	
		6,021,397	02/01/2000	Jones et al.	705	36	
		6,078,904	06/20/2000	Rebane	705	36	
▼		6,125,355	09/26/2000	Bekaert et al.	705	36	Technology Center 2100
JR		6,188,992	02/13/2001	French	705	35	

## FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER	/James Rioux/	DATE CONSIDERED	02/27/2007
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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GP 2161

PTO/SB/21 (08-00)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission **5**

Application Number **10/079,022**

Filing Date **02/20/2002**

First Named Inventor **CHARNLEY, James A.**

Group Art Unit **2161**

Examiner Name

Attorney Docket Number **P00632-US1**

### ENCLOSURES (check all that apply)

- Fee Transmittal Form
- Fee Attached
- Amendment / Reply
- After Final
- Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Information Disclosure Statement
- Certified Copy of Priority Document(s)
- Response to Missing Parts/ Incomplete Application
- Response to Missing Parts under 37 CFR 1.52 or 1.53

- Assignment Papers (for an Application)
- Drawing(s)
- Licensing-related Papers
- Petition
- Petition to Convert to a Provisional Application
- Power of Attorney, Revocation Change of Correspondence Address
- Terminal Disclaimer
- Request for Refund
- CD, Number of CD(s) \_\_\_\_\_

- After Allowance Communication to Group
- Appeal Communication to Board of Appeals and Interferences
- Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- Proprietary Information
- Status Letter
- Other Enclosure(s) (please identify below): **prior art patents for IDS**

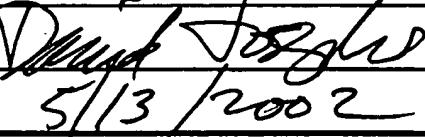
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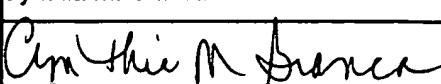
Firm or Individual name	David R. Josephs, Esquire BARLOW, JOSEPHS & HOLMES, LTD.
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Typed or printed name **Cynthia M. Branca**

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